



## Chapter 6 Reporting Overview—First-Time Reporters

**NOTE: IF YOU ARE A RETURNING REPORTER CHANGING THE AWARD ID, ORDER #, OR DUNS NUMBER ON A REPORT FILED IN THE LAST REPORTING CYCLE, SEE CHAPTER 10 FOR INSTRUCTIONS.**

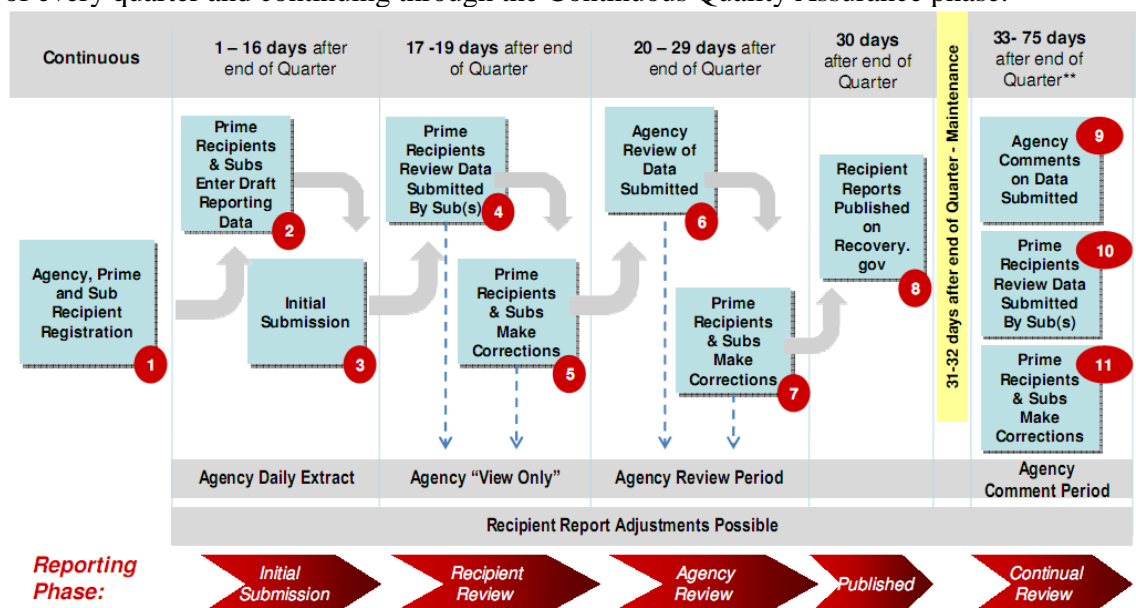
### In this chapter:

- *Reporting Phases*
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- *Post-Report Activities*

Recipients of federal contracts, grants, and loans awarded are required to report on the use of the Recovery funds under Section 1512 of the Recovery Act. FederalReporting.gov serves as the method for submitting reports by prime and sub-recipients delegated by their primes to report. FederalReporting.gov also serves as the method for federal agencies to view and comment on recipients' reports.

### The Reporting Timeline

The diagram below illustrates the phases of the reporting process, beginning on Day 1 after the end of every quarter and continuing through the Continuous Quality Assurance phase.





## Reporting Phases

- **Initial Submission**

- You may choose to enter data into a draft report and save that report until all information has been collected. When you have full information, you then submit the report. Draft is a **temporary stage only**.
- Recipients creating reports online can save draft versions of their reports at FederalReporting.gov.
- Recipients using the Excel spreadsheet or XML options will save draft versions on their own computers or workstations.
- Reports uploaded via batch, Excel, or XML are “Submitted” when uploaded.
- Recipients reporting online must click “Submit” on their saved reports.
- A recipient may continue to save or resubmit data throughout this phase.
- Approved federal agency users can view “Submitted” versions of recipient reports beginning on Day 1 after the end of the quarter.

**NOTE:** A report is considered to be a draft until you submit the report as an Initial Submission. Failure to submit a report by midnight P.S.T. on Day 10 after the end of the quarter will make you non-compliant with Section 1512 of the Recovery Act.

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with Section 1512 of the Recovery Act.**

- **Recipient Review**

- Prime recipients can comment on submitted sub-recipient reports for an associated award number.
- Federal agencies can view submitted recipient reports through the My Reports section
- Recipients can not submit reports as Draft during this phase.

- **Agency Review**

- At the beginning of the agency review stage, all submitted reports are locked, preventing recipients from modifying their reports.
- Federal agencies can review and comment on submitted reports. If an agency comments on a report, the recipient receives an email indicating that there has been a comment to the report. The report is then unlocked for recipients to make corrections.

- **Quarterly Reports Published**

- On Day 30 following the end of the quarter, all data in FederalReporting.gov is published on Recovery.gov. No changes can be made to the Published report.



- **Continuous Quality Assurance**
  - On approximately Day 33 after the end of the quarter, all reports on FederalReporting.gov are unlocked. Prime recipients can modify and change their reports. Federal agencies can comment on reports.

**Prime recipients must report all data associated with the prime award, whether a federal contact, grant, or loan.**

## Reporting Roles

- Prime recipients are ultimately responsible for reporting of all data required under Section 1512 of the Recovery Act, including the Federal Funding Accountability and Transparency Act (FFATA) data elements for sub-recipients.
- Prime recipients must report all data associated with the prime award, whether a federal contact, grant, or loan.
- Prime recipients of grants and loans may delegate reporting of certain reporting requirements to sub-recipients. If a prime delegates reporting to a sub-recipient, the prime must contact the sub-recipient outside of FederalReporting.gov and in sufficient time for the sub-recipient to register and report.
- Prime recipients of federal contracts, grants or loans may decide to enter sub-recipient data in their own prime reports rather than delegating those responsibilities to the sub-recipients. This is known as the Prime Service Provider (PSP) model. In the PSP model, only the prime recipient needs to register at FederalReporting.gov. The sub-recipient will supply all necessary data to the prime recipient outside of FederalReporting.gov. **If you are a prime recipient who chooses to enter sub-recipient data, be sure to accurately enter all sub-recipient DUNS numbers in your reports. Inaccurate DUNS numbers could lead to reporting inaccuracies or validation errors.**
- **Primes receiving federal contracts—federal contractors—may not delegate reporting to sub-recipients.** The PSP model is required for all prime recipients of federal contracts.

**If you are a prime recipient who chooses to enter sub-recipient data, be sure that all sub-recipient DUNS numbers are entered accurately. Inaccurate DUNS numbers could lead to reporting inaccuracies or validation errors.**



## Award Types

Awards made under the Recovery Act are categorized into three types:

- Federal Contracts
- Grants
- Loans

The mandatory data required for reporting varies by award type. Some data elements for federal contracts are different from the data elements required for reporting on grants and loans. See the Data Dictionary on the Downloads page for more information regarding the data elements applicable to federal contracts as well as those data elements applicable to grants and loans.

## How to Submit Reports

There are four basic ways to submit reports to FederalReporting.gov:

- **Online – See Chapter 7 for details**
  - o FederalReporting.gov provides a straightforward data entry form, available via the user's Web browser. A commercial Web browser, such as Microsoft's Internet Explorer or Firefox, is all that is required. The Web-based format provides the greatest degree of accessibility and is designed to conform to Section 508 accessibility standards.
- **Excel Spreadsheet – See Chapter 8 for details**
  - o Download a Microsoft Excel spreadsheet template from the Downloads page.
  - o Microsoft Office's Excel (Version 2003 or newer) is required to open the spreadsheet file. FederalReporting.gov provides a Validation Utility for validating the structure of the Excel.
- **XML Upload – See Chapter 9 for details**
  - o You can download the XML schema on the Downloads page. Submission must match the required XML schema format.
- **Batch Submission**
  - o This option is provided to approved states to report a large volume of reports via SFTP. This option also allows recipient organizations to submit reports for multiple DUNS as part of a single submission. Both Excel and XML formats can be submitted through this method.



## Validation Utility for Excel Spreadsheet and XML Schema

The Validation Utility allows a recipient to test the basic structure and certain business rules associated with a sample file. You must provide basic information regarding your Award Type and Recipient Type in order to validate the file or batch. The Validation Utility is not intended to validate each and every report you intend to submit, rather, the Validation Utility allows you to validate a small sample report to help ensure that that your report file structure is compliant with the required report schema and will be accepted by the system. Follow these steps to validate your file:

- Step 1: Log on to FederalReporting.gov
- Step 2: Create your sample Excel or XML of no greater than 200 megabytes.
- Step 3: Click “Validate File” in the left sidebar on the FederalReporting.gov home page.
- Step 4: On the Validate File page, select the required fields for Award Type and Recipient Type.
- Step 5: Browse and select the file to validate.
- Step 6: Click “Validate File.”
- Step 7: Confirmation page confirms that your file has uploaded.

Friday, September 11, 2009 Text A\* A\* A

**FederalReporting.gov**

Home | About | Downloads | FAQ | Help

Hello, Recipient User (Recipient User)  
[You have 1 unread messages.](#) [Logoff](#)

**Current Reporting Cycle**  
Initial Submission - Prime and Sub Recipients enter draft and initial report submission.

**Create / Upload ARRA Reports**  
[Create Report](#)  
[Upload Report](#)  
[Validate File](#)

**Quick Links**  
**My Reports**  
• [Prime Recipient](#)  
• [Sub Recipient](#)  
**Administration**  
• [My Account](#)  
• [Request FRPIN](#)

**Download Templates**  
[Microsoft Excel](#)  
[XML Schema](#)

**LIVE HELP**  
Click Here To Chat  
[Send](#)

**Validate File**

**Validation Instructions**  
Welcome to the Validation Utility. This Validation Utility allows a Recipient organization user to test the basic structure and certain business rules associated with a sample file. The Validation Utility is not intended to validate each and every report you intend to submit. Rather, the Validation Utility will allow you to validate a small sample report to help ensure that your report file structure is compliant with the required report schema and will be accepted by the system.  
The validation utility process consists of the following 6 steps:  
1. Verify that your sample Excel or XML file is no greater than 200 megabytes.  
2. Select the appropriate radio buttons (Award Type and Recipient Type).  
3. Browse and select a file to validate.  
4. Select the "Validate File" button to submit your file validation request.  
5. Confirmation page confirms that your file has uploaded.  
6. Within 1 to 24 hours, you will receive an email with validation results. The results can be used by your organization to understand any issues which will require correction in the submitted report file. Applying the results to all of your future report submissions helps to ensure continued compliance with the report schema and acceptance by the system.

**Award Type**  
☐ Federally Awarded Contract  
☐ Grant  
☐ Loan

**Recipient Type**  
☐ Prime Recipient [Prime Only]  
☐ Prime Recipient [Prime and Sub]  
☐ Sub Recipient [Sub Only]

**File to Validate**  
Browse to select an Excel or XML file to validate.  
File  [Browse...](#)

[Validate File](#) [Cancel](#)

Click “Validate File” to finish the validation process.

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Within 24 hours, you will receive an email with validation results, indicating any errors associated with the sample file. **Your Validation file will not be saved in the FederalReporting.gov database and is not considered a report submission.**

### Post-Report Activities

Once a report is submitted, new versions of that report can be entered or uploaded. Each time a new version of the report is entered or uploaded, the previous version is archived in the database. The previous versions of a report are held for audit purposes only and are not available to FederalReporting.gov users. After a report is submitted, there are a number of other activities that can occur and they include

**Each new version of a report overwrites the previous version. Therefore, to avoid incomplete or inaccurate reports, it is critical that prime recipients clearly communicate reporting responsibilities to their delegated sub-recipients.**

- **Update**—You can change, edit, and update information within reports for which you have submission rights.
- **View**—You can review the report data.
- **Comment**—You can place comments on the reports they review indicating questions, data anomalies, or requests to update or change information contained in the report.
- **Deactivate**—You can deactivate a previously submitted report. Although the report is rendered inactive or ineffective, the report will still be stored in the FederalReporting.gov database for audit purposes.